



1624

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| <b>TRANSMITTAL FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number     | 10/538,126       |
|   | Filing Date            | June 6, 2005     |
|   | First Named Inventor   | Shunsuke Kuroiwa |
|   | Art Unit               | 1624             |
|   | Examiner Name          | Not yet assigned |
| Total Number of Pages In This Submission  | Attorney Docket Number | 442P097          |

| ENCLOSURES (Check all that apply)  |  |  |
|--|--|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Reply to Missing Parts/Incomplete Application<br><input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____<br><input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication to TC<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>-Form PTO-1449<br>-Copy of non US references cited - 2<br>-Copy of European communication dated 7/19/07 |
| <div>Remarks</div>   |  |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                 |          |        |
|--|-----------------|----------|--------|
| Firm Name                                  | Niels & Lemack  |          |        |
| Signature                                  |                 |          |        |
| Printed name                               | Kevin S. Lemack |          |        |
| Date                                       | August 17, 2007 | Reg. No. | 32,579 |

| CERTIFICATE OF TRANSMISSION/MAILING   |                 |      |                 |
|---|-----------------|------|-----------------|
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| Signature   |                 |      |                 |
| Typed or printed name   | Kevin S. Lemack | Date | August 17, 2007 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shunsuke Kuroiwa et al.

Serial No. : 10/538,126

Filed : June 6, 2005

For : 3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING  
THE SAME

Examiner : Not yet assigned

Art Unit : 1624

Confirmation No: 2218

Attorney  
Docket No. : 442P097

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Sir:

INFORMATION DISCLOSURE STATEMENT

The Examiner is respectfully requested to consider the document(s), which is/are listed on the attached form PTO 1449.


The relevance of the reference Chemical Abstract XP002441182 is cited is shown in the attached European communication dated July 19, 2007, which indicates the degree of relevance found by the European Patent Office in a related foreign application.

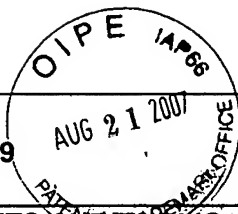
Copies of the non U.S. Patent listed on the attached form are enclosed herewith.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on **August 17, 2007**

  
Signature: **Kevin S. Lemack**  
Date: **August 17, 2007**

Respectfully submitted,

  
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|----------------------|--|---------------------------------|
| <b>FORM PTO-1449</b> | <b>ATTY. DOCKET NO.</b><br>442P097   | <b>SERIAL NO.</b><br>10/538,126 |
|                      | <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b> |                                 |
|                      | Shunsuke Kuroiwa et al.  |                                 |
|                      | <b>FILING DATE</b><br>June 6, 2005   | <b>GROUP</b><br>1624            |

**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|---------------------|----|--------------------|------|------|-------|----------|-------------------------------|
|                     | AA |                    |      |      |       |          |                               |
|                     | AB |                    |      |      |       |          |                               |
|                     | AC |                    |      |      |       |          |                               |
|                     | AD |                    |      |      |       |          |                               |

**FOREIGN PATENT DOCUMENTS**

|  |    | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|----|--------------------|------|---------|-------|----------|-------------|----|
|  |    |                    |      |         |       |          | YES         | NO |
|  | BA |                    |      |         |       |          |             |    |
|  | BB |                    |      |         |       |          |             |    |
|  | BC |                    |      |         |       |          |             |    |

**OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)**

|  |    |  |   |
|--|----|--|---|
|  | CA |  | Database Caplus – Chemical Abstracts Service, Ramadas, Sukuru Raghu et al.; "Condensed nitrogen heterocycles derived from indan-1, 3-dione" – XP002441182             |
|  | CB |  | Journal of Medicinal Chemistry, 1976, vol. 19, No. 4; Kuppuswamy Nagarajan et al.; "Central Nervous System Active 5-Oxo-1,4,5,6,7,8-hexahydrocinnolines"; pp. 508-511 |
|  | CC |  | Copy of European communication dated 7/19/2007  |
|  | CD |  |   |

|                 |                        |
|-----------------|------------------------|
| <b>EXAMINER</b> | <b>DATE CONSIDERED</b> |
|-----------------|------------------------|

**EXAMINER:** Initial reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance *and* not considered. Include copy of this form with next communication to applicant.